



# **Register of ASX Settlement Operating Rule Waivers**

**16 to 31 October 2017**

**The purpose of this register is to record when ASX has exercised its discretion and granted a waiver from the ASX Settlement Operating rules. Waivers are published bi-monthly and include information such as:**

- Organisation**
- Rule Number**
- Decision Details**
- Basis for Decision**

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<b>Rule Number</b>	13.9.4
<b>Date</b>	26/10/2017
<b>ASX Code</b>	OGC
<b>Listed Company</b>	OCEANAGOLD CORPORATION
<b>Waiver Number</b>	WLC170307-001
<b>Decision</b>	<p>1. Based solely on the information provided, ASX Limited ("ASX") hereby grants Oceana Gold Corporation (the "Company") a waiver from ASX Settlement Operating Rule 13.9.4 to the extent necessary and subject to the Conditions below to assist the Company in proceeding with the proposed dividend.</p> <p>Conditions This waiver is granted by ASX subject to the following Conditions:</p> <p>1.1 The waiver only applies for the period from and including 3 November 2017 up to and including 9 November 2017 (the "Relevant Period").</p> <p>2. The Company issues a market release informing investors that no conversions (transmutations) will be processed during the Relevant Period.</p> <p>3. This waiver is subject to any amendments to ASX Settlement Operating Rules 13.9.4, 13.9.9 or changes in the interpretation or administration of the relevant Rules and policies of the ASX Group; and</p> <p>4. OGC indemnifies ASX Group (and thereby ASX) against any losses incurred as a result of ASX waiving the requirements under ASX Settlement Operating Rules 13.9.4 and 13.9.9 in this instance.</p>
<b>Basis For Decision</b>	<p><b>Underlying Policy</b> ASX Settlement Operating Rule 13.9.4 requires an Issuer that receives a Valid Message under Rule 13.9.3(b) to generate a Trustee Transfer Form in accordance with the Procedures and register that Transfer in the Principal Register, within the Scheduled Time. The Scheduled Time contained in Appendix 1 is within 12 business hours of ASXS transmitting the Message.</p> <p><b>Present Application</b> The waivers are considered necessary to prevent the potential for a holder to gain inappropriate access to a dividend made by the Company as a result of differences in time zones and ex entitlement periods between two different jurisdictions. Such disparity may create an opportunity for a holder who is not entitled to receive a dividend to inappropriately gain access to that dividend as issuances can't be tagged to clarify whether they are trading with or without the dividend.</p>

<b>Rule Number</b>	13.9.4
<b>Date</b>	30/10/2017
<b>Warrant or AQUA Product Issuer</b>	VANECK VECTORS CHINAAMC CSI 300 ETF
<b>Waiver Number</b>	WWI170003-001
<b>Decision</b>	<p>1. Based solely on the information provided, ASX Limited ("ASX") grants VanEck Investments Limited (the "Company") a waiver of ASX Settlement Operating Rule 13.9.4 on the following conditions:</p> <p>1.1 The waiver applies only to the Interests in the VanEck Vectors ChinaAMC CSI 300 ETF, VanEck Vectors Gold Miners ETF and VanEck Vectors Morningstar Wide Moat ETF in respect of the distribution periods set out below (the "Relevant Periods"):</p> <p>I. From and including 19 December 2017 up to and including 20 December 2017,  II. From and including 28 December 2017 up to and including 29 December 2017.</p> <p>In relation to the above Relevant Periods, if there are any changes to such distribution periods, the waiver will apply to those revised periods, provided that the Company:</p> <p>(a) notifies ASX Settlement of the change to the distribution period at least two (2) business days prior to the change; and  (b) ASX Settlement does not object to the change within a period of one (1) business day from the date it receives the notification.</p> <p>2. The Company issues a market release informing investors that no conversions (transmutations) will be processed during the Relevant Periods.</p> <p>3. This waiver will expire on 11 January 2018.</p>
<b>Basis For Decision</b>	<p><b>Underlying Policy</b>  ASX Settlement Operating Rule 13.9.4 requires an Issuer that receives a Valid Message under Rule 13.9.3(b) to generate a Trustee Transfer Form in accordance with the Procedures and register that Transfer in the Principal Register, within the Scheduled Time.  The Scheduled Time contained in the Schedule is within 12 business hours of ASX Settlement transmitting the Message.</p> <p><b>Present Application</b>  The Waiver is considered necessary to prevent the potential for a holder to gain inappropriate access to a distribution or other corporate action made by a fund as a result of differences in time zones and public holidays between Australia and the US. Such disparity may create an opportunity for a holder who is not entitled to receive a distribution to inappropriately gain access to that distribution as issuances can't be tagged to clarify whether they are trading with or without the distribution.</p>

<b>Rule Number</b>	13.9.4
<b>Date</b>	30/10/2017
<b>Warrant or AQUA Product Issuer</b>	VANECK VECTORS GOLD MINERS ETF
<b>Waiver Number</b>	WWI170004-001
<b>Decision</b>	<p>1. Based solely on the information provided, ASX Limited ("ASX") grants VanEck Investments Limited (the "Company") a waiver of ASX Settlement Operating Rule 13.9.4 on the following conditions:</p> <p>1.1 The waiver applies only to the Interests in the VanEck Vectors ChinaAMC CSI 300 ETF, VanEck Vectors Gold Miners ETF and VanEck Vectors Morningstar Wide Moat ETF in respect of the distribution periods set out below (the "Relevant Periods"):</p> <p>I. From and including 19 December 2017 up to and including 20 December 2017,  II. From and including 28 December 2017 up to and including 29 December 2017.</p> <p>In relation to the above Relevant Periods, if there are any changes to such distribution periods, the waiver will apply to those revised periods, provided that the Company:</p> <p>(a) notifies ASX Settlement of the change to the distribution period at least two (2) business days prior to the change; and  (b) ASX Settlement does not object to the change within a period of one (1) business day from the date it receives the notification.</p> <p>2. The Company issues a market release informing investors that no conversions (transmutations) will be processed during the Relevant Periods.</p> <p>3. This waiver will expire on 11 January 2018.</p>
<b>Basis For Decision</b>	<p><b>Underlying Policy</b>  ASX Settlement Operating Rule 13.9.4 requires an Issuer that receives a Valid Message under Rule 13.9.3(b) to generate a Trustee Transfer Form in accordance with the Procedures and register that Transfer in the Principal Register, within the Scheduled Time.  The Scheduled Time contained in the Schedule is within 12 business hours of ASX Settlement transmitting the Message.</p> <p><b>Present Application</b>  The Waiver is considered necessary to prevent the potential for a holder to gain inappropriate access to a distribution or other corporate action made by a fund as a result of differences in time zones and public holidays between Australia and the US. Such disparity may create an opportunity for a holder who is not entitled to receive a distribution to inappropriately gain access to that distribution as issuances can't be tagged to clarify whether they are trading with or without the distribution.</p>

<b>Rule Number</b>	13.9.4
<b>Date</b>	30/10/2017
<b>Warrant or AQUA Product Issuer</b>	VANECK VECTORS MORNINGSTAR WIDE MOAT ETF
<b>Waiver Number</b>	WWI170005-001
<b>Decision</b>	<p>1. Based solely on the information provided, ASX Limited ("ASX") grants VanEck Investments Limited (the "Company") a waiver of ASX Settlement Operating Rule 13.9.4 on the following conditions:</p> <p>1.1 The waiver applies only to the Interests in the VanEck Vectors ChinaAMC CSI 300 ETF, VanEck Vectors Gold Miners ETF and VanEck Vectors Morningstar Wide Moat ETF in respect of the distribution periods set out below (the "Relevant Periods"):</p> <p>I. From and including 19 December 2017 up to and including 20 December 2017,  II. From and including 28 December 2017 up to and including 29 December 2017.</p> <p>In relation to the above Relevant Periods, if there are any changes to such distribution periods, the waiver will apply to those revised periods, provided that the Company:</p> <p>(a) notifies ASX Settlement of the change to the distribution period at least two (2) business days prior to the change; and  (b) ASX Settlement does not object to the change within a period of one (1) business day from the date it receives the notification.</p> <p>2. The Company issues a market release informing investors that no conversions (transmutations) will be processed during the Relevant Periods.</p> <p>3. This waiver will expire on 11 January 2018.</p>
<b>Basis For Decision</b>	<p><b>Underlying Policy</b>  ASX Settlement Operating Rule 13.9.4 requires an Issuer that receives a Valid Message under Rule 13.9.3(b) to generate a Trustee Transfer Form in accordance with the Procedures and register that Transfer in the Principal Register, within the Scheduled Time.  The Scheduled Time contained in the Schedule is within 12 business hours of ASX Settlement transmitting the Message.</p> <p><b>Present Application</b>  The Waiver is considered necessary to prevent the potential for a holder to gain inappropriate access to a distribution or other corporate action made by a fund as a result of differences in time zones and public holidays between Australia and the US. Such disparity may create an opportunity for a holder who is not entitled to receive a distribution to inappropriately gain access to that distribution as issuances can't be tagged to clarify whether they are trading with or without the distribution.</p>

<b>Rule Number</b>	13.9.9
<b>Date</b>	26/10/2017
<b>ASX Code</b>	OGC
<b>Listed Company</b>	OCEANAGOLD CORPORATION
<b>Waiver Number</b>	WLC170307-002
<b>Decision</b>	<p>1. Based solely on the information provided, ASX Limited ("ASX") hereby grants Oceana Gold Corporation (the "Company") a waiver from ASX Settlement Operating Rule 13.9.9 to the extent necessary and subject to the Conditions below to assist the Company in proceeding with the proposed dividend.</p> <p>Conditions This waiver is granted by ASX subject to the following Conditions:</p> <p>1.1 The waiver only applies for the period from and including 3 November 2017 up to and including 9 November 2017 (the "Relevant Period").</p> <p>2. The Company issues a market release informing investors that no conversions (transmutations) will be processed during the Relevant Period.</p> <p>3. This waiver is subject to any amendments to ASX Settlement Operating Rules 13.9.4, 13.9.9 or changes in the interpretation or administration of the relevant Rules and policies of the ASX Group; and</p> <p>4. OGC indemnifies ASX Group (and thereby ASX) against any losses incurred as a result of ASX waiving the requirements under ASX Settlement Operating Rules 13.9.4 and 13.9.9 in this instance.</p>
<b>Basis For Decision</b>	<p><b>Underlying Policy</b> ASX Settlement Operating Rule 13.9.9 requires an Issuer that receives a Valid Message under Rule 13.9.8 and properly completed transfer documentation to transmit a Message to ASXS to transfer the Financial Products, enter the Transfer in the Principal Register and in certain circumstances verify the Registration Details, within the Scheduled Time. The Scheduled Time contained in Appendix 1 is within 12 business hours of ASXS queuing the Transfer or of the Issuer receiving the documentation, whichever is the later.</p> <p><b>Present Application</b> The waivers are considered necessary to prevent the potential for a holder to gain inappropriate access to a dividend made by the Company as a result of differences in time zones and ex entitlement periods between two different jurisdictions. Such disparity may create an opportunity for a holder who is not entitled to receive a dividend to inappropriately gain access to that dividend as issuances can't be tagged to clarify whether they are trading with or without the dividend.</p>

<b>Rule Number</b>	13.9.9
<b>Date</b>	30/10/2017
<b>Warrant or AQUA Product Issuer</b>	VANECK VECTORS CHINAAMC CSI 300 ETF
<b>Waiver Number</b>	WWI170003-002
<b>Decision</b>	<p>1. Based solely on the information provided, ASX Limited ("ASX") grants VanEck Investments Limited (the "Company") a waiver of ASX Settlement Operating Rule 13.9.9 on the following conditions:</p> <p>1.1 The waiver applies only to the Interests in the VanEck Vectors ChinaAMC CSI 300 ETF, VanEck Vectors Gold Miners ETF and VanEck Vectors Morningstar Wide Moat ETF in respect of the distribution periods set out below (the "Relevant Periods"):</p> <p>I. From and including 19 December 2017 up to and including 20 December 2017,  II. From and including 28 December 2017 up to and including 29 December 2017.</p> <p>In relation to the above Relevant Periods, if there are any changes to such distribution periods, the waiver will apply to those revised periods, provided that the Company:</p> <p>(a) notifies ASX Settlement of the change to the distribution period at least two (2) business days prior to the change; and  (b) ASX Settlement does not object to the change within a period of one (1) business day from the date it receives the notification.</p> <p>2. The Company issues a market release informing investors that no conversions (transmutations) will be processed during the Relevant Periods.</p> <p>3. This waiver will expire on 11 January 2018.</p>
<b>Basis For Decision</b>	<p><b>Underlying Policy</b>  ASX Settlement Operating Rule 13.9.9 requires an Issuer that receives a Valid Message under Rule 13.9.8 and properly completed transfer documentation to transmit a Message to ASX Settlement to transfer the Financial Products, enter the Transfer in the Principal Register and in certain circumstances verify the Registration Details, within the Scheduled Time.  The Scheduled Time contained in the Schedule is within 12 business hours of ASX Settlement queuing the Transfer or of the Issuer receiving the documentation, whichever is the later.</p> <p><b>Present Application</b>  The Waiver is considered necessary to prevent the potential for a holder to gain inappropriate access to a distribution or other corporate action made by a fund as a result of differences in time zones and public holidays between Australia and the US. Such disparity may create an opportunity for a holder who is not entitled to receive a distribution to inappropriately gain access to that distribution as issuances can't be tagged to clarify whether they are trading with or without the distribution.</p>

<b>Rule Number</b>	13.9.9
<b>Date</b>	30/10/2017
<b>Warrant or AQUA Product Issuer</b>	VANECK VECTORS GOLD MINERS ETF
<b>Waiver Number</b>	WWI170004-002
<b>Decision</b>	<p>1. Based solely on the information provided, ASX Limited ("ASX") grants VanEck Investments Limited (the "Company") a waiver of ASX Settlement Operating Rule 13.9.9 on the following conditions:</p> <p>1.1 The waiver applies only to the Interests in the VanEck Vectors ChinaAMC CSI 300 ETF, VanEck Vectors Gold Miners ETF and VanEck Vectors Morningstar Wide Moat ETF in respect of the distribution periods set out below (the "Relevant Periods"):</p> <p>I. From and including 19 December 2017 up to and including 20 December 2017,  II. From and including 28 December 2017 up to and including 29 December 2017.</p> <p>In relation to the above Relevant Periods, if there are any changes to such distribution periods, the waiver will apply to those revised periods, provided that the Company:</p> <p>(a) notifies ASX Settlement of the change to the distribution period at least two (2) business days prior to the change; and  (b) ASX Settlement does not object to the change within a period of one (1) business day from the date it receives the notification.</p> <p>2. The Company issues a market release informing investors that no conversions (transmutations) will be processed during the Relevant Periods.</p> <p>3. This waiver will expire on 11 January 2018.</p>
<b>Basis For Decision</b>	<p><b>Underlying Policy</b>  ASX Settlement Operating Rule 13.9.9 requires an Issuer that receives a Valid Message under Rule 13.9.8 and properly completed transfer documentation to transmit a Message to ASX Settlement to transfer the Financial Products, enter the Transfer in the Principal Register and in certain circumstances verify the Registration Details, within the Scheduled Time.  The Scheduled Time contained in the Schedule is within 12 business hours of ASX Settlement queuing the Transfer or of the Issuer receiving the documentation, whichever is the later.</p> <p><b>Present Application</b>  The Waiver is considered necessary to prevent the potential for a holder to gain inappropriate access to a distribution or other corporate action made by a fund as a result of differences in time zones and public holidays between Australia and the US. Such disparity may create an opportunity for a holder who is not entitled to receive a distribution to inappropriately gain access to that distribution as issuances can't be tagged to clarify whether they are trading with or without the distribution.</p>



<b>Rule Number</b>	13.9.9
<b>Date</b>	30/10/2017
<b>Warrant or AQUA Product Issuer</b>	VANECK VECTORS MORNINGSTAR WIDE MOAT ETF
<b>Waiver Number</b>	WWI170005-002
<b>Decision</b>	<p>1. Based solely on the information provided, ASX Limited ("ASX") grants VanEck Investments Limited (the "Company") a waiver of ASX Settlement Operating Rule 13.9.9 on the following conditions:</p> <p>1.1 The waiver applies only to the Interests in the VanEck Vectors ChinaAMC CSI 300 ETF, VanEck Vectors Gold Miners ETF and VanEck Vectors Morningstar Wide Moat ETF in respect of the distribution periods set out below (the "Relevant Periods"):</p> <p>I. From and including 19 December 2017 up to and including 20 December 2017,  II. From and including 28 December 2017 up to and including 29 December 2017.</p> <p>In relation to the above Relevant Periods, if there are any changes to such distribution periods, the waiver will apply to those revised periods, provided that the Company:</p> <p>(a) notifies ASX Settlement of the change to the distribution period at least two (2) business days prior to the change; and  (b) ASX Settlement does not object to the change within a period of one (1) business day from the date it receives the notification.</p> <p>2. The Company issues a market release informing investors that no conversions (transmutations) will be processed during the Relevant Periods.</p> <p>3. This waiver will expire on 11 January 2018.</p>
<b>Basis For Decision</b>	<p><b>Underlying Policy</b>  ASX Settlement Operating Rule 13.9.9 requires an Issuer that receives a Valid Message under Rule 13.9.8 and properly completed transfer documentation to transmit a Message to ASX Settlement to transfer the Financial Products, enter the Transfer in the Principal Register and in certain circumstances verify the Registration Details, within the Scheduled Time.  The Scheduled Time contained in the Schedule is within 12 business hours of ASX Settlement queuing the Transfer or of the Issuer receiving the documentation, whichever is the later.</p> <p><b>Present Application</b>  The Waiver is considered necessary to prevent the potential for a holder to gain inappropriate access to a distribution or other corporate action made by a fund as a result of differences in time zones and public holidays between Australia and the US. Such disparity may create an opportunity for a holder who is not entitled to receive a distribution to inappropriately gain access to that distribution as issuances can't be tagged to clarify whether they are trading with or without the distribution.</p>